

ON LOWER SEMICONTINUITY OF MULTIPLE INTEGRALS

BY

AGNIESZKA KAŁAMAJSKA (WARSZAWA)

We give a new short proof of the Morrey–Acerbi–Fusco–Marcellini Theorem on lower semicontinuity of the variational functional $\int_{\Omega} F(x, u, \nabla u) dx$. The proofs are based on arguments from the theory of Young measures.

1. Introduction and statement of results. Let Ω be a bounded open domain in \mathbb{R}^n . Define the functional

$$(1) \quad I(u) = \int_{\Omega} F(x, u, \nabla u) dx \quad \text{for } u \in W^{1,p}(\Omega, \mathbb{R}^m).$$

Such functionals are related to questions of nonlinear elasticity and Skyrme’s model for meson fields and have been investigated by many authors (see e.g. [1], [2], [4], [6], [10]–[17], [19], [20], [22], [23]).

We give a short proof of the following theorem due to Morrey, Acerbi, Fusco, and Marcellini (see [22], [1], [19]; the definition of quasiconvexity is given in Section 2).

THEOREM 1.1. *Let $\Omega \subseteq \mathbb{R}^n$ be a bounded domain, $1 \leq p \leq \infty$, and let $F : \Omega \times \mathbb{R}^m \times \mathbb{R}_n^m \rightarrow [0, \infty]$ satisfy*

(i) *$F(x, s, \lambda)$ is a Carathéodory function (i.e. measurable in $x \in \Omega$ and continuous in $(s, \lambda) \in \mathbb{R}^m \times \mathbb{R}_n^m$),*

(ii) *there exists a Carathéodory function $E(\cdot, \cdot)$ such that, for almost every x and all (s, λ) , $|F(x, s, \lambda)| \leq E(x, s)g(\lambda)$ if $p = \infty$, for some continuous function g , and $|F(x, s, \lambda)| \leq E(x, s)(1 + |\lambda|^p)$ if $p < \infty$,*

(iii) *for almost every x and all s , the mapping $\lambda \mapsto F(x, s, \lambda)$ is quasiconvex.*

If $u^j \rightarrow u$ in $L^p(\Omega, \mathbb{R}^m)$ and $\nabla u^j \rightarrow \nabla u$ in $L^p(\Omega, \mathbb{R}_n^m)$ as $j \rightarrow \infty$ ($\nabla u^j \overset{}{\rightharpoonup} \nabla u$ in $L^\infty(\Omega, \mathbb{R}_n^m)$ if $p = \infty$) then the functional (1) satisfies*

$$(2) \quad I(u) \leq \liminf_{j \rightarrow \infty} I(u^j).$$

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Our proof of Theorem 1.1 is based on the theory of Young measures, and will be obtained as an easy consequence of the following Jensen-type inequalities for Young measures.

THEOREM 1.2. *Let $\Omega \subseteq \mathbb{R}^n$ be any bounded domain and $1 \leq p \leq \infty$. Suppose that $\{\nu_x\}_{x \in \Omega}$ is the Young measure (see Definition 3.2) generated by the sequence ∇u^j where $u^j \in W^{1,p}(\Omega, \mathbb{R}^m)$, and $\nabla u^j \rightharpoonup \nabla u$ in $L^p(\Omega, \mathbb{R}^m)$ as $j \rightarrow \infty$ ($\nabla u^j \xrightarrow{*} \nabla u$ in $L^\infty(\Omega, \mathbb{R}^m)$ if $p = \infty$). If $F : \Omega \times \mathbb{R}_n^m \rightarrow [-\infty, \infty]$ satisfies*

- (i) $F(x, \lambda)$ is a Carathéodory function (for $x \in \Omega$, $\lambda \in \mathbb{R}_n^m$),
- (ii) there exists a measurable function $E(\cdot)$ such that, for almost every x and all λ , $|F(x, \lambda)| \leq E(x)g(\lambda)$ if $p = \infty$, for some continuous function g , and $|F(x, \lambda)| \leq E(x)(1 + |\lambda|^p)$ if $p < \infty$,
- (iii) the mapping $\lambda \mapsto F(x, \lambda)$ is quasiconvex for almost every x ,

then the following Jensen-type inequality is satisfied for almost every $x \in \Omega$:

$$(3) \quad F\left(x, \int_{\mathbb{R}_n^m} \lambda \nu_x(d\lambda)\right) \leq \int_{\mathbb{R}_n^m} F(x, \lambda) \nu_x(d\lambda)$$

$$\text{and } \nabla u(x) = \int_{\mathbb{R}_n^m} \lambda \nu_x(d\lambda).$$

It is known that Theorems 1.1 and 1.2 are equivalent (see e.g. [6], [15]–[17]), but as far as I know a direct proof of Theorem 1.2 is missing in the literature. The known proof of Theorem 1.2 requires Theorem 1.1, or its slightly less general version due to Acerbi and Fusco [1]. Theorem 1.1 in the formulation given here was obtained by Marcellini [19]. He did not use Young measures, but the proof was rather long. We want to show that a direct application of Young measures is a useful tool and can abbreviate the already known reasonings.

2. Preliminaries and notation. We use standard notation for the well known function spaces $W^{1,p}(\Omega)$ (Sobolev space), $C_0(\mathbb{R}^l)$ (continuous functions vanishing at infinity), $C(\Omega)$ (continuous functions), $\text{Lip}(\Omega)$ (Lipschitz functions), and $\mathcal{M}(\Omega)$ (Radon measures). If $f \in C(\Omega)$ and $\mu \in \mathcal{M}(\Omega)$, then (f, μ) will stand for $\int_\Omega f(\lambda) \mu(d\lambda)$. We write $\int_A f dx$ for $|A|^{-1} \int_A f dx$. We denote by $Q(x, r)$ the cube with center x and edges of length r . If x_n, x are elements of a Banach space then we denote by $x_n \rightarrow x$ the strong (norm) convergence, by $x_n \rightharpoonup x$ the weak convergence and by $x_n \xrightarrow{*} x$ the weak $*$ convergence. By C we denote the general constant, which can change even in the same line.

The following theorem is well known and has many extensions (see e.g. [9, Theorem 13], [18], [21], [7], [8]).

THEOREM 2.1. *Let $\Omega \subseteq \mathbb{R}^n$ be an open set and $1 \leq p < \infty$. Then for any $u \in W^{1,p}(\Omega)$ and any $\lambda > 0$ there exists a closed set $F_\lambda \subseteq \Omega$ and a mapping $u_\lambda \in \text{Lip}(\Omega)$ such that*

- (i) $\lambda^p |\Omega \setminus F_\lambda| \rightarrow 0$ as $\lambda \rightarrow \infty$,
- (ii) $\nabla u = \nabla u_\lambda$ for almost every $x \in F_\lambda$,
- (iii) $|\nabla u_\lambda(x)| < C\lambda$ for almost every $x \in \Omega$, with C independent of x and λ ,
- (iv) $\|\nabla u - \nabla u_\lambda\|_{L^p(\Omega)} \rightarrow 0$ as $\lambda \rightarrow \infty$.

We recall the fundamental theorem of Young (see [3]).

THEOREM 2.2. *Let $\Omega \subseteq \mathbb{R}^n$ be a measurable bounded set. Assume that $u^j : \Omega \rightarrow \mathbb{R}^m$, $j = 1, 2, \dots$, is a sequence of measurable functions satisfying the following tightness condition:*

$$\sup_j |\{x \in \Omega : |u^j(x)| \geq k\}| \rightarrow 0 \quad \text{as } k \rightarrow \infty.$$

Then there exists a subsequence $\{u^k\}$ and a family $\{\nu_x\}_{x \in \Omega}$ of probability measures, $\nu_x \in \mathcal{M}(\mathbb{R}^m)$, such that

- (i) for every $f \in C_0(\mathbb{R}^m)$ the function $x \mapsto (f, \nu_x)$ is measurable,
- (ii) if $K \subseteq \mathbb{R}^n$ is a closed set, and for every j and almost every x , $u^j(x) \in K$, then $\text{supp } \nu_x \subseteq K$ for almost every x ,
- (iii) if $A \subseteq \Omega$ is measurable and $f : \Omega \times \mathbb{R}^m \rightarrow \mathbb{R}$ satisfies
 - f is a Carathéodory function,
 - the sequence $\{f(x, u^k(x))\}$ is sequentially weakly relatively compact in $L^1(A)$,

then $\{f(x, u^k(x))\}$ converges weakly in $L^1(A)$ to \bar{f} given by

$$\bar{f}(x) = \int_{\mathbb{R}^m} f(x, \lambda) \nu_x(d\lambda).$$

DEFINITION 2.1. We say that u^j generates the Young measure $\{\nu_x\}_{x \in \Omega}$ if $\{\nu_x\}_{x \in \Omega}$ satisfies (i) and for any $f \in C_0(\mathbb{R}^m)$, $f(u^j) \xrightarrow{*} \bar{f} = (f, \nu_x)$ in $L^\infty(\Omega)$.

The following useful fact is a generalization of that given in [6, Lemma 2.2]. Although this form is not required for our needs, for completeness, and to show some particular techniques, we try to give a possibly general formulation and include a detailed proof.

THEOREM 2.3. *Suppose that $u^j = (w^j, v^j) : \Omega \rightarrow \mathbb{R}^m \times \mathbb{R}^k$ satisfy the tightness condition and generate the Young measure $\{\mu_x\}_{x \in \Omega}$. Suppose further that $w^j \rightarrow w$ in measure and that $\{v^j\}_{j \in \mathbb{N}}$ generates the Young measure $\{\nu_x\}_{x \in \Omega}$. Then for almost every $x \in \Omega$ we have $\mu_x = \delta_{w(x)} \otimes \nu_x$, which means that for any $f \in C_0(\mathbb{R}^m \times \mathbb{R}^k)$ and almost every $x \in \Omega$,*

$$(4) \quad \int_{\mathbb{R}^m \times \mathbb{R}^k} f(s, \lambda) \mu_x(ds, d\lambda) = \int_{\mathbb{R}^k} f(w(x), \lambda) \nu_x(d\lambda).$$

If f is a Carathéodory function on $\Omega \times (\mathbb{R}^m \times \mathbb{R}^k)$ and $|f(z, s, \lambda)| \leq C(z)g(s, \lambda)$ with some measurable function C and a continuous function g such that for almost all $x \in \Omega$,

$$(5) \quad \int_{\mathbb{R}^m \times \mathbb{R}^k} g(s, \lambda) \mu_x(ds, d\lambda) < \infty \quad \text{and} \quad \int_{\mathbb{R}^k} g(w(x), \lambda) \nu_x(d\lambda) < \infty,$$

then for almost every $x \in \Omega$,

$$(6) \quad \int_{\mathbb{R}^m \times \mathbb{R}^k} f(x, s, \lambda) \mu_x(ds, d\lambda) = \int_{\mathbb{R}^k} f(x, w(x), \lambda) \nu_x(d\lambda).$$

Proof. Let $f \in C_0(\mathbb{R}^m \times \mathbb{R}^k)$ and set $h^j = f(w^j, v^j) - f(w, v^j)$. Since f is uniformly continuous, it follows that $h^j \rightarrow 0$ in measure, and moreover $|h^j| \leq 2\|f\|_{L^\infty(\mathbb{R}^m \times \mathbb{R}^k)}$. Thus, by the Lebesgue Dominated Convergence Theorem we have $h^j \rightarrow 0$ strongly in $L^1(\Omega)$, while on the other hand, by Theorem 2.2 it converges to $(f, \mu_x) - (f(w(x), \cdot), \nu_x)$ weakly in $L^1(\Omega)$. Hence $(f, \mu_x) - (f(w(x), \cdot), \nu_x) = 0$ almost everywhere, from which (4) follows. To prove (6) we consider three cases: 1) f does not depend on x , 2) $C(z) \leq K < \infty$ and f is continuous on $\Omega \times \mathbb{R}^m \times \mathbb{R}^k$, and 3) the general case.

In the first case define $\phi : [0, \infty) \rightarrow \mathbb{R}$ by $\phi(t) = 1$ on $[0, 1]$, $\phi(t) = -t + 2$ on $[1, 2]$ and $\phi(t) = 0$ for $t > 2$. Since $f^j(s, \lambda) = f(s, \lambda)\phi(|(s, \lambda)|/j) \in C_0(\mathbb{R}^m \times \mathbb{R}^k)$, it follows that the formula

$$(7) \quad \int_{\mathbb{R}^m \times \mathbb{R}^k} f^j(s, \lambda) \mu_x(ds, d\lambda) = \int_{\mathbb{R}^k} f^j(w(x), \lambda) \nu_x(d\lambda)$$

holds everywhere on a set $\Omega(j)$ of full measure. In particular, (7) holds everywhere on the set $\tilde{\Omega} = \bigcap_j \Omega(j)$, which is still of full measure. We can assume additionally that (5) holds for all $x \in \tilde{\Omega}$. Since $|f^j| \leq |f|$, we can let j tend to infinity, apply the Lebesgue Dominated Convergence Theorem, and verify that (6) holds everywhere on $\tilde{\Omega}$.

In the second case choose a dense countable subset $\{B^j\} \subseteq \Omega$ and consider the functions $F^j(s, \lambda) = f(B^j, s, \lambda)$. Since by Case 1 the equality (6) is satisfied with $f = F^j$ on a set $\Omega_1(j)$ of full measure we see that

$$\int_{\mathbb{R}^m \times \mathbb{R}^k} f(B^j, s, \lambda) \mu_x(ds, d\lambda) = \int_{\mathbb{R}^k} f(B^j, w(x), \lambda) \nu_x(d\lambda)$$

on the set $\Omega_1 = \bigcap_j \Omega_1(j)$, which is still of full measure and does not depend on j . Take an arbitrary $x \in \Omega_1$ and a sequence $B^{j_k} \rightarrow x$ as $k \rightarrow \infty$. Now it suffices to check that by the Lebesgue Dominated Convergence Theorem the left hand side of the equality tends to $\int_{\mathbb{R}^m \times \mathbb{R}^k} f(x, s, \lambda) \mu_x(ds, d\lambda)$, while the right hand side tends to $\int_{\mathbb{R}^k} f(x, w(x), \lambda) \nu_x(d\lambda)$.

Finally, in the last case we use the Scorza Dragoni Theorem and Lusin Theorem (see e.g. [13]) and bite off sets Ω_ε of arbitrarily small measure such that f is continuous on $(\Omega \setminus \Omega_\varepsilon) \times \mathbb{R}^m \times \mathbb{R}^k$ and C is bounded on $\Omega \setminus \Omega_\varepsilon$. Thus (6) is satisfied almost everywhere on $\Omega \setminus \Omega_\varepsilon$, and hence it is satisfied almost everywhere on Ω . ■

Let us state Chacon’s Biting Lemma (see e.g. [5]).

THEOREM 2.4 [Biting Lemma]. *Let $\Omega \subseteq \mathbb{R}^n$, $|\Omega| < \infty$ and suppose that $\{f^j\}$ is a bounded sequence in $L^1(\Omega)$. Then there exists a subsequence $\{f^\nu\}$, a function $f \in L^1(\Omega)$ and a decreasing family of measurable sets E_k such that $|E_k| \rightarrow 0$ as $k \rightarrow \infty$ and for any k ,*

$$f^\nu \rightharpoonup f \quad \text{in } L^1(\Omega \setminus E_k) \text{ as } \nu \rightarrow \infty.$$

DEFINITION 2.2 (see e.g. [24]). We will say that $\{f^j\}$ converges to f in the biting sense ($f^j \xrightarrow{b} f$) whenever there is a set E of arbitrarily small measure such that $f^j \rightharpoonup f$ in $L^1(\Omega \setminus E)$.

Finally, we recall the known definition of quasiconvexity.

DEFINITION 2.3. The function $F : \mathbb{R}_n^m \rightarrow \mathbb{R}$ is *quasiconvex* if for any $A \in \mathbb{R}_n^m$, any cube $Q \subseteq \mathbb{R}^n$ and any $\phi \in C_0^\infty(Q, \mathbb{R}^m)$,

$$(8) \quad F(A) \leq \int_Q F(A + \nabla \phi) dx.$$

3. Proofs of Theorems 1.1 and 1.2

Proof of Theorem 1.2. We can assume that Ω is a ball (if $h_1 \leq h_2$ almost everywhere on every ball $B \subseteq \Omega$ then $h_1 \leq h_2$ almost everywhere on Ω). If we take $f(\lambda) = \lambda$, $f : \mathbb{R}_n^m \rightarrow \mathbb{R}_n^m$ and apply the Young Theorem to every coordinate of $f(\nabla u^j)$ we immediately derive $\int_{\mathbb{R}_n^m} \lambda \nu_x(d\lambda) = \nabla u(x)$, for almost every x .

We distinguish the following cases: 1) $F = F(\lambda)$ and $p = \infty$, 2) $F = F(\lambda)$ and $1 \leq p < \infty$, and 3) the general case.

Case 1. Let $x \in \Omega$ and $r > 0$ be such that $Q(x, r) \subseteq \Omega$. Take $0 < \sigma < r$ and choose $\phi_\sigma \in C_0^\infty(Q(x, r))$, $\phi_\sigma \equiv 1$ on $Q(x, r - \sigma)$. By standard arguments the function $w_\sigma^j = \phi_\sigma(u^j - u)$ can be substituted in (8). That gives for arbitrary $A \in \mathbb{R}_n^m$,

$$F(A) \leq \int_{Q(x, r)} F(A + \nabla \phi_\sigma \cdot (u^j - u) + \phi_\sigma(\nabla u^j - \nabla u)) dy = I(x, r, \sigma, j).$$

Since $\{F(A + \nabla w_\sigma^j)\}_j$ is relatively compact in $L^1(\Omega)$, by the Young Theorem applied to the sequence $(u^j - u, \nabla u^j)$ and by Theorem 2.3,

$$I(x, r, \sigma, j) \rightarrow \int_{Q(x,r)} \int_{\mathbb{R}_n^m} F(A + \phi_\sigma(y)(\lambda - \nabla u(y))) \nu_y(d\lambda) dy = I(x, r, \sigma)$$

as $j \rightarrow \infty$ and ν_y is supported on a bounded set. Hence, if we apply the Lebesgue Dominated Convergence Theorem and let $\sigma \rightarrow 0$, we see that

$$I(x, r, \sigma) \rightarrow \int_{Q(x,r)} \int_{\mathbb{R}_n^m} F(A + \lambda - \nabla u(y)) \nu_y(d\lambda) dy.$$

By the Lebesgue Differentiation Theorem for any $A \in \mathbb{R}_n^m$ there is a set $\Omega(A) \subseteq \Omega$ such that $|\Omega \setminus \Omega(A)| = 0$, and for each $x \in \Omega(A)$,

$$(9) \quad F(A) \leq \int_{\mathbb{R}_n^m} F(A + \lambda - \nabla u(x)) \nu_x(d\lambda).$$

We can additionally assume that $|\nabla u(x)| < \infty$ for every $x \in \Omega(A)$. Let $\{A^j\}$ be a countable dense subset in \mathbb{R}_n^m . Since $\Omega_1 = \bigcap_j \Omega(A^j)$ is still of full measure in Ω , for every $x \in \Omega_1$ the inequality (9) is satisfied with $A = A^j$, for arbitrary j . Take $x \in \Omega_1$ and let $A^{j_k} \rightarrow \nabla u(x)$ as $k \rightarrow \infty$. Now it suffices to note that $F(A^{j_k}) \rightarrow F(\nabla u(x))$, and

$$\int_{\mathbb{R}_n^m} F(A^{j_k} - \nabla u(x) + \lambda) \nu_x(d\lambda) \rightarrow \int_{\mathbb{R}_n^m} F(\lambda) \nu_x(d\lambda).$$

Case 2. We apply Theorem 2.1 and find u_λ such that $\|\nabla u_\lambda\|_{L^\infty(\Omega)} \leq C\lambda$ and $\nabla u_\lambda = \nabla u$ almost everywhere on F_λ , where $\lambda^p |\Omega \setminus F_\lambda| \rightarrow 0$ as $\lambda \rightarrow \infty$. Let $\lambda_k = k$, and let $\{\nu_x^k\}$ be the Young measure generated by a subsequence of $\{\nabla u_k^j\}_j$. Note that for any k we have $F(\lambda, \nu_x^k) \leq (F, \nu_x^k)$ almost everywhere. Thus it suffices to apply the following lemma.

LEMMA 3.1. *Let $f = f(\lambda)$ with $|f(\lambda)| \leq C(1 + |\lambda|^p)$, and $\{\nu_x\}_{x \in \Omega}$ and $\{\nu_x^k\}_{x \in \Omega}$ be as above. Then for every $\varepsilon > 0$ we can find a set $E \subseteq \Omega$ such that $|E| < \varepsilon$ and $(f, \nu_x^k) \rightarrow (f, \nu_x)$ in $L^1(\Omega \setminus E)$ as $k \rightarrow \infty$.*

Proof. Take $\varepsilon > 0$. According to Theorems 2.4 and 2.2 we find a set $E \subseteq \Omega$ such that $|E| < \varepsilon$ and $f(\nabla u^j) \rightharpoonup (f, \nu_x)$ weakly in $L^1(\Omega \setminus E)$. We have

$$\begin{aligned} & \int_{\Omega \setminus E} |(f, \nu_x^k) - (f, \nu_x)| dx \\ &= \sup_{\|\phi\|_{L^\infty(\Omega)} \leq 1} \left| \int_{\Omega \setminus E} \phi(x) ((f, \nu_x^k) - (f, \nu_x)) dx \right| \\ &= \sup_{\|\phi\|_{L^\infty(\Omega)} \leq 1} \left| \lim_{j \rightarrow \infty} \int_{\Omega \setminus E} \phi(x) (f(\nabla u_k^j) - f(\nabla u^j)) dx \right| \\ &\leq \sup_j \int_{(\Omega \setminus E) \setminus F_k} |f(\nabla u_k^j)| + \sup_j \int_{(\Omega \setminus E) \setminus F_k} |f(\nabla u^j)| dx \xrightarrow{k \rightarrow \infty} 0. \end{aligned}$$

The convergence follows from the estimates on f and the Dunford–Pettis Theorem. ■

Case 3. We use exactly the same arguments as in the proof of Theorem 2.3, cases 2 and 3. ■

Proof of Theorem 1.1. Suppose that $\{u^j\}_{j \in \mathbb{N}}$ satisfies the assumptions of Theorem 1.1. Let $\alpha = \liminf_{j \rightarrow \infty} I(u^j)$. If $\alpha = \infty$ the assertion is satisfied. Suppose that $\alpha < \infty$. In this case the sequence $\{F(x, u^j, \nabla u^j)\}_{j \in \mathbb{N}}$ is bounded in $L^1(\Omega)$. By Theorems 2.2–2.4 we find a subsequence $\{u^l\}$ with the properties: 1) $I(u^l) \rightarrow \alpha$ as $l \rightarrow \infty$, 2) the sequence $\{\nabla u^l\}$ generates the Young measure $\{\nu_x\}_{x \in \Omega}$, 3) there exists a family $\{E_k\}$ of sets such that $|E_k| \rightarrow 0$ and $\{F(x, u^l, \nabla u^l)\}_l$ is weakly convergent in $L^1(\Omega \setminus E_k)$ to $\int_{\mathbb{R}_n^m} F(x, u(x), \lambda) \nu_x(d\lambda)$.

Since $F_u(x, \lambda) = F(x, u(x), \lambda)$ satisfies the assumptions of Theorem 1.2, we have $\int_{\mathbb{R}_n^m} F(x, u(x), \lambda) \nu_x(d\lambda) \geq F(x, u(x), \nabla u(x))$ for almost every x . Now it suffices to note that

$$\begin{aligned} \alpha &= \lim_{l \rightarrow \infty} \int_{\Omega} F(x, u^l, \nabla u^l) dx \geq \lim_{l \rightarrow \infty} \int_{\Omega \setminus E_k} F(x, u^l, \nabla u^l) dx \\ &= \int_{\Omega \setminus E_k} \int_{\mathbb{R}_n^m} F(x, u(x), \lambda) \nu_x(d\lambda) \geq \int_{\Omega \setminus E_k} F(x, u(x), \nabla u(x)) dx. \quad \blacksquare \end{aligned}$$

Remark 3.1. It has been proved by Kristensen [17] that the Jensen inequalities of Theorem 1.2 can be generalized to a certain class of functions which are Borel measurable with respect to the last variable.

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Institute of Mathematics
University of Warsaw
Banacha 2
00-097 Warszawa, Poland
E-mail: kalamajs@mimuw.edu.pl

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